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ABSTRACT

A survey was conducted in those academic and research libraries that are involved in the OhioLINK project to determine their use of approval plans and their budgetary patterns. Written questionnaires were used to collect data in order to examine approval plan use, approval plan and firm order budgeting, and vendor use. Analyses of the responses reveal patterns of approval plan spending and usage, and compare approval plan use with monographic firm ordering. It was found that the number of approval plans used has grown over the last 4 fiscal years; the 1990-1991 fiscal year is the first year in which approval plan spending is higher than spending for monographic firm orders; and larger libraries tend to both have a larger number of approval plans and to spend a larger percentage of their budgets on approval plans. A copy of the questionnaire and data from the survey responses are appended. (60 references) (MAB)

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Approval Plan Use in Ohio's State Supported Academic and Research Libraries: A Budgetary Analysis

A Master's Research Paper submitted to the
Kent State University School of Library Science
in partial fulfillment of the requirements
for the degree Master of Library Science

by

Gary W. White

May, 1991

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ABSTRACT

Survey method of approval plans in those academic and research libraries involved in the OhioLINK project is used to determine approval plan use and budgetary patterns in these libraries. Written questionnaires were used to collect data in order to examine approval plan use, approval plan and firm order budgeting, and vendor use.

Analysis reveals patterns of approval plan spending and usage, and compares approval plan use with monographic firm ordering. The number of approval plans used has grown over the last four fiscal years. The 1990-1991 fiscal year is the first year in which approval plan spending is higher than spending for monographic firm orders. Larger libraries tend to both have a larger number of approval plans and to spend a larger percentage of their budgets on approval plans.

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I. INTRODUCTION

Approval plans are widely used by academic librarians as a method to acquire the most recently published materials at a lower cost than would be possible with monographic firm orders. Two of the major reasons cited by librarians for originally instituting approval plans are to save staff time and to improve collection development.[1] Other reasons given for using approval plans are to broaden selection coverage and to realize processing efficiencies.[2] Rising operating and materials costs have caused academic librarians to rely more heavily on approval plans as a method of saving time and money, while still acquiring needed library materials.[3]

The OhioLINK project is a proposed statewide library and information system which will connect the libraries of seventeen state supported institutions in the state of Ohio for the purpose of resource sharing. The Ohio Board of Regents and members of participating libraries are involved in this project, which is being developed in

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[1]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Approval Plans, Spec Kit no. 141, (Washington, DC: Association of Research Libraries, 1988), 11.

[2]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Approval Plans in ARL Libraries, Spec Kit, no. 83 (Washington, DC: Association of Research Libraries, 1982), i.

[3]Peter B. Kaatrude, "Approval Plan versus Conventional Selection: Determining the Overlap," Collection Management 11 (1989): 149-150.

response to budgetary restraints currently being experienced.[4] The libraries that are members of OhioLINK are larger libraries that use and spend a considerable portion of their budgets on approval plans.

Statement of the Problem

The professional literature reports much information on choosing or evaluating approval plans, and on the number of libraries using approval plans,[5] but little has been done to determine the percentage of library budgets spent on approval plans and how this figure compares to the amount spent on monographic firm orders. Data on Ohio's libraries has not previously been collected. Whether these libraries spend more on approval plans or firm orders, the percentage of the total materials budget spent on approval plans, and whether these figures have changed over the last four fiscal years would be useful information to libraries involved in the OhioLINK project. This study would also allow comparisons of both approval plan use and the vendors which are being used. This information would be especially interesting because of the proposed resource sharing that is to be accomplished through this project. Libraries using approval plans, or considering the implementation of an approval plan, would also be interested in this data as this information would be indicative of current trends in

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[4]Ohio Board of Regents and Ohio Library & Information System, Request for Proposal for the Ohio Library & Information System (OLIS). (Columbus, OH: Ohio Board of Regents and Ohio Library & Information System, 1989), p. 1.

[5]Rose Mary Magrill and Doralyn J. Hickey, Acquisitions Management and Collection Development in Libraries (Chicago: American Library Association, 1984), p. 34-36.

approval plan and firm order spending.

Purpose of the Study

The purpose of the present study is to collect data on approval plan use among the seventeen state supported libraries currently involved in the OhioLINK project. The survey method will be used to explore the following questions:

1. Are approval plans currently being used in the OhioLINK libraries?
2. In those libraries using approval plans, how much is spent each year and what percentage of the total budget is this figure?
3. How much is spent on monographic firm orders each year?
4. Is a higher percentage of the total budget spent using approval plans or through monographic firm orders?

Hypotheses

This investigation will explore the general hypothesis that academic and research libraries in Ohio are using approval plans on a wider basis than previous studies have indicated. The specific hypotheses to be tested are as follows:

1. Academic and research libraries in Ohio spend more on materials acquired through approval plans than through traditional jobbing of orders to vendors.
2. The proportion of the OhioLINK libraries' budgets spent on approval plan materials as opposed to firm ordered materials has grown over the last three years.
3. Libraries with a larger collection size will spend a higher proportion of the total budget on approval plans than libraries with a smaller collection size.
4. Larger libraries use a larger number of approval plans.

Definition of Terms

For the purpose of this study approval plans will be operationally defined as a sophisticated arrangement between an academic or research library and a vendor in which the vendor:

1. Selects for approval treatment all new titles in a defined area, and profiles those selected as to subject and formal characteristics.
2. The library draws up a profile of subject, publisher, series, or other decisions which reflect its collection development policy.
3. The vendor matches new titles against the library's profile and sends automatically on approval all positive matches.[6]

Libraries are not obligated to buy specific titles, and any unwanted titles are returned to the vendor.[7]

The information collected in this study will determine whether these libraries spend more on approval plans or firm orders, the percentage of the total materials budget spent on approval plans, and whether these figures have changed over the last four fiscal years. Libraries involved in the OhioLINK project will be interested in this information, as it will allow comparisons of both approval plan use and the vendors which are being used. This information will be especially interesting because of the proposed resource sharing that is to be accomplished through this project. Libraries using approval plans, or considering the implementation of an approval plan, will also be

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[6]L. Hunter Kevil, "The Approval Plan of Smaller Scope," Library Acquisitions: Practice and Theory 9 (1985): 14.

[7]Ibid.

interested in this data as this information will be indicative of current trends in approval plan and firm order spending.

Limitations of the Study

The libraries surveyed in this study are members of the OhioLINK project and are all located geographically in the state of Ohio. Findings, therefore, are not generalizable to all large academic libraries. Reasons for selecting an approval plan, satisfaction levels, or evaluation of approval plans are beyond the scope of this study and will not be addressed.

II. LITERATURE REVIEW

A search of the literature on approval plans in academic libraries revealed numerous articles and studies. The majority of these reports deal with methods of choosing an approval plan vendor, evaluating approval plans, or are case studies of specific approval plans as operated in particular libraries. However, there are several research studies in the literature which will add support to the present study.

The Ohio Computer Library Center conducted a survey in 1977 in which questionnaires were sent to 716 libraries of various types. Surveys were returned by 482 libraries, 332 of which were classified as academic libraries. Results showed that a total of 178 used approval plans.[8] Libraries with approval plans had an average of four approval plans, with the minimum number being one and the maximum number being forty-eight.[9] A survey of approval plan use conducted in 1980 by Jennifer Cargill and Brian Alley consisted of a sample of ninety-five academic libraries. Nearly 75 percent of the libraries surveyed used approval plans. Cargill and Alley also report that almost all of the libraries surveyed indicated a high level of satisfaction with their approval plans. Respondents reported that cost and staff savings and better collection development were the major benefits to using approval

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[8]Ohio College Library Center, Survey of Acquisition Procedures (Columbus, Oh.: Ohio College Library Center, 1977), viii.

[9]Ibid.

plans.[10] This result is similar to that found in an earlier survey of 101 academic libraries conducted by Kathleen McCullough, Edwin D. Posey and Doyle C. Pickett. Their study showed that eighty, or 79.2 percent, of the academic libraries used approval plans. Reasons for implementing the approval plan also included staff and cost savings and improved collection development, along with the expectation that the books would reach the shelves faster when acquired through this method.[11]

The Systems and Procedures Exchange Center of the Association of Research Libraries, Office of Management Studies conducted surveys of approval plan use in libraries in both 1982 and 1988. The 1982 survey reported that eighty-six of the 101 academic libraries in the sample used approval plans.[12] The eighty-six libraries that had approval plans had an average of three domestic approval plans and ten foreign approval plans.[13] In the 1988 survey, a total of 106 academic libraries responded, of which eighty-six reported using approval plans.[14] A total of 934 approval plans were used in these libraries,

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[10]Jennifer Cargill and Brian Alley, "Highlights from a National Approval Plan Survey," Technicalities 1 (January 1981): 5.

[11]Kathleen McCullough, Edwin D. Posey, and Doyle C. Pickett, Approval Plans and Academic Libraries (Phoenix, Ar.: Oryz Press, 1977), 1-2.

[12]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Spec. Kit no. 83, i.

[13]Ibid., 2.

[14]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Spec. Kit no. 141, 6.

of which 35.9 percent were domestic and 64.1 percent were foreign. Average numbers for each type of plan were not given.[15] These studies show that the percentage of academic libraries using approval plans seems to have risen over the past decade. Both studies also indicate that approval plans are used more extensively to acquire foreign rather than domestic materials, as both report a larger number of the total approval plans as being with foreign vendors.

R. Charles Wittenberg, in analyzing developments in the use of approval plans since 1984, has concluded that approval plans are being used in smaller libraries, even in libraries which were once thought to be too small to benefit from the use of approval plans. Approval plans already in existence have tended to grow during this period of time. Wittenberg also predicts that libraries will increasingly choose to treat the commitment to the approval plan on a level that is equivalent to the treatment of serial subscriptions.[16]

Several studies have also been conducted to analyze the amounts being spent on approval plans. Joseph W. Barker conducted a case study to evaluate the approval plans used by the library at the University of California at Berkeley. Approval plan spending for fiscal year 1987-1988 accounted for sixteen percent of the total budget, with firm orders

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[15]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Spec. Kit no. 141, 9.

[16]R. Charles Wittenberg, "The Approval Plan: An Idea Whose Time Has Gone? And Come Again?" Library Acquisitions: Practice & Theory 12 (1988): 240-241.

accounting for only 14 percent of the total budget.[17] An evaluation of the approval plans used at the Texas A&M University Library showed that 47 percent of the monographic book budget was spent on approval plans, with 38 percent going for firm ordered books.[18]

Approval plan use in academic libraries was analyzed in terms of the total acquisitions budget and the total monographic book budget in the study conducted by McCullough, Posey, and Pickett. This survey showed that the libraries with larger budgets were more likely to have approval plans. In fact, 89.2 percent of libraries with a total acquisitions budget of more than $500,000 used approval plans.[19] The survey conducted by the Systems and Procedures Exchange Center of the Association of Research Libraries, Office of Management Studies in 1988 showed that of the eighty-eight libraries with approval plans, expenditures for approval plans ranged from between $0 - 50,000 up to between $950,001 - 1,000,000. Approximately 40 percent of these libraries reported spending between $100,000 - 300,000 on approval plans each year.[20] The 1982 survey conducted by this same office showed that an average of $107,171 and $85,662 was spent on domestic and foreign approval plans, respectively. These costs represented an average of

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[17]Joseph W. Barker, "Vendor Studies Redux: Evaluating the Approval Plan Option From Within," Library Acquisitions: Practice & Theory 13 (1989): 136-37.

[18]Sul H. Lee, ed., Issues in Acquisitions: Programs and Evaluation, Library Management Series (Ann Arbor: Pierian Press, 1984), 36-37.

[19]McCullough, Posy, and Pickett, 19-21.

[20]Association of Research Libraries, Office of Management Studies, System and Procedures Exchange Center, Spec. Kit no. 141, 10.

9.7 percent of the total library materials budget.[21] Cargill and Alley report that of the libraries using approval plans, expenditures varied from $29,000 - 140,000. The average approval plan was $103,667 in value.[22] A comparison of the 1980 study by Cargill and Alley with the 1988 and 1982 reports from the Systems and Procedures Exchange Center of the Association of Research Libraries, Office of Management Studies indicates that average expenditures for approval plans have risen during this time period. However, rising materials costs must be considered when analyzing this increase.

These studies are the basis of the hypotheses that are currently being explored. The information collected from the present study can also be compared to the results of these earlier studies for similarities in approval plan use in academic libraries. These comparisons will be done both with the use of approval plans and the expenditures for them.

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[21]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Spec. Kit no. 83, 2.

[22]Cargill and Alley, 4.

III. METHOD

The survey method is used to obtain the data necessary for this study. The format is a three-page mail questionnaire designed to gather information on approval plan use in those academic and research libraries involved in the OhioLINK project. Information on the percentage of the acquisition budgets allocated for approval plan materials as well as the number and types of approval plans used is of particular interest.

The questionnaire (Appendix B) consists of one dichotomous and nine fill-in questions. A space on the questionnaire is provided so that participants in the survey can indicate if they wish to receive results once the study is completed. Certain questions on the survey were adopted from the questionnaire used in a survey conducted by the Systems and Procedures Exchange Center, which is operated by the Association of Research Libraries, Office of Management Studies.[23] A range of dollar figures in increments from $0 - 50,000 up to over $6,000,000 with corresponding letters is provided so that respondents that did not have exact figures can estimate the answers to the survey questions by writing in the letter which most closely corresponds to their approximations.

The sample consists of all seventeen academic and research libraries which are involved in the OhioLINK project. A listing of these libraries is provided in Appendix D. The cover letters (Appendix

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[23]Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, Spec. Kit no. 141, 2-5.

A) and questionnaires were addressed to the acquisitions department heads of each library as identified in the American Library Directory, 1990-91.[24] The mailings were sent on December 3, 1990 to either the library director or the head of collection development listed if there was no listing under acquisitions librarian. Since personnel other than the acquisitions librarians may respond to the survey, a space on the questionnaire is provided for the respondent to list his or her title. This information is of use for analyzing whether librarians or support staff did the actual responding to the questionnaire. Survey respondents were given one month to return the questionnaire in an enclosed postage-paid envelope. A follow-up letter (Appendix C) was mailed on January 15, 1991 to those libraries that had not responded within the one-month time period. This letter gave an additional two weeks for responses. Libraries that had not responded by the original one month deadline were identified through a combination of respondents identifying themselves or their institutions, postmarks on the return envelopes, and a comparison of the figures given with those listed in the American Library Directory, 1990-91.

The questionnaire recipients are asked to supply information on their library's collection size, acquisitions budget for each of the past four fiscal years, total monographic budget for each of the past four fiscal years, whether their library uses approval plans, and the amount spent on monographic firm orders for each of the last four fiscal years. Libraries that respond affirmatively to having approval plans

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[24] American Library Directory, 1990-91, 43rd edition. (New York: R.R. Bowker, 1990), 1391-1463.

are also asked to specify which vendors are used, how many approval plans are used, and the amount spent on approval plan materials for each of the last four fiscal years. The information on collection size and the number of approval plans used by each institution is used to compute a correlation coefficient between these factors.

Data collected from survey questions requesting budgetary information are used to determine whether these libraries spend more on approval plan materials or on firm ordered materials. Also, the amount spent for approval plan materials over the past four years and whether this figure has increased is determined. This factor is compared to the amount spent on monographic firm ordered materials to determine whether a higher or lower percentage of the total acquisitions budget is being spent on approval materials. The number of approval plans used is compared to budget size to determine a correlation coefficient. Information collected on which approval plan vendors are used is also compared. Descriptive statistics are used to determine and display the results of this study.

IV. RESULTS

Ten responses were received within the one month time frame specified in the first mailing of the questionnaire. An additional three responses were generated from the second set of mailings, for a total response rate of thirteen out of seventeen possible responses. This constitutes a return rate of 76.47 percent. See Appendix E for the complete listing of responses to individual questions.

The libraries responding range in size from a reported low of 75,022 items to a high of 4,000,000 items. The mean number of items reported is 1,544,454. A breakdown by number responding according to size is reported in Table 1.

The budgetary information reported by the libraries likewise is widely dispersed. This is to be expected, however, as budget size is related to library size. One respondent did not fill in the budgetary information requested, but instead suggested that these figures could be obtained from the Annual Statistics of Medical School Libraries in the United States and Canada. However, the 1990 edition of this publication lists only 1987-88 budgetary information for this particular institution.[1] Since budgetary figures for the fiscal years after 1988-89

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[1]Annual Statistics of Medical School Libraries in the United States and Canada, Vol. 12. (Houston, TX: Houston Academy of Medicine-Texas Medical Center Library, 1990), 232.

Table 1.

OhioLINK Library Respondents By Collection Size

Collection Size	Number of Libraries
Under 100,000 items:	1
100,000-500,000 items:	3
500,000-1,000,000 items:	1
1,000,000-1,500,000 items:	0
1,500,000-2,000,000 items:	4
2,000,000-2,500,000 items:	2
2,500,000-3,000,000 items:	1
Over 3,000,000 items:	1

are not available, this library was omitted when performing some statistical computations. The total acquisitions budgets for each of the last four fiscal years of the libraries responding can be summarized in Table 2. An analysis of the acquisitions budget figures shows the expected increase in allocations each year, but with a smaller increase between fiscal years 1989-1990 and 1990-1991 than those allocations in previous years. The mean acquisitions budgets for each of the four fiscal years are summarized in Table 3.

The questionnaire also requested information on monographic budgets for the last four fiscal years. This figure was to include any money intended for approval plan spending. The information gathered is summarized in Table 4. The mean monographic budgets for the last four fiscal years are given in Table 5. One respondent reported that their library received a special appropriations increase of over $800,000 during fiscal year 1989-1990. This factor should be considered when noting that the mean monographic budget for fiscal year 1989-1990 is larger than the mean monographic budget for fiscal year 1990-1991.

Approval plans are currently being used in eleven of the thirteen libraries responding to the survey. This constitutes 84.6 percent of these libraries. The number of libraries using approval plans has risen over the last four years. This information is presented in Table 6. The total

Table 2.

Acquisitions Budgets by Number of Libraries for Fiscal Years 1987-88 to 1990-91

Budget Range	1987-88	1988-89	1989-90	1990-91
$0-$100,000	1	1	0	0
$100,001-$500,000	2	1	1	2
$500,001-$1,000,000	2	1	1	1
$1,000,001-$1,500,000	4	3	3	2
$1,500,001-$2,000,000	3	3	2	1
$2,000,001-$2,500,000	0	2	4	4
$2,500,001-$3,000,000	0	0	0	1
Over $3,000,000	1	1	1	1

Table 3.

Mean Acquisitions Budget by Fiscal Year

Fiscal Year	Mean Budget
1990-1991	$1,855,517
1989-1990	$1,796,279
1988-1989	$1,563,622
1987-1988	$1,294,785

Table 4.

Monographic Budgets by Number of Libraries for Fiscal Years 1997-88 to 1990-91

Budget Range	1987-88	1988-89	1989-90	1990-91
$0-$100,000	3	2	1	1
$100,001-$200,000	1	2	1	2
$200,001-$300,000	2	1	0	0
$300,001-$400,000	2	0	2	2
$400,001-$500,000	1	0	0	0
$500,001-$600,000	2	2	0	0
$600,001-$700,000	1	2	4	3
$700,001-$800,000	0	1	0	1
$800,001-$900,000	0	1	1	1
$900,001-$1,000,000	0	0	2	1
Over $1,000,000	1	1	1	1

Table 5.

Mean Monographic Budget by Fiscal Year

Fiscal Year	Mean Budget
1990-1991	$564,145.58
1989-1990	$677,817.33
1988-1989	$535,936.58
1987-1988	$457,587.91

number of approval plans reported is thirty-four. Eighteen, or 52.9 percent, are domestic approval plans, with the remaining sixteen, or 47.1 percent, being foreign. For libraries with approval plans, the mean number of plans is 3.09. The mean number of domestic approval plans is 1.64 and the mean number of foreign approval plans is 1.45.

The relationship between library size, using the number of items reported, and number of approval plans was explored by computing the Pearson product-moment correlation coefficient between these two factors. A correlation coefficient of .69 exists, which strongly indicates that libraries with a larger number of items also tend to have a larger number of approval plans. The Pearson product-moment correlation coefficient was also computed using the factors of budget amount for the 1990-1991 fiscal year and number of approval plans. These factors have a correlation coefficient of .76 which strongly indicates that libraries with a larger budget tend to have a larger number of approval plans.

The questionnaire also requested information on the amount that was actually spent using approval plans for each of the last four fiscal years. This information is summarized by fiscal year in Table 7, and includes only those libraries who reported that they used approval plans during those years. As listed in Table 6, approval plans were used in eleven libraries in fiscal years 1990-1991 and

Table 6.

Number of Libraries Using Approval Plans by Fiscal Year

Fiscal Year	Number of Libraries
1990-1991	11
1989-1990	11
1988-1989	9
1987-1988	8

Table 7.

Amount Spent on Approval Plans by Fiscal Year

Amount	1987-88	1988-89	1989-90	1990-91
$0-$100,000	2	2	2	2
$100,001-$200,000	2	1	3	2
$200,001-$300,000	1	2	1	2
$300,001-$400,000	1	2	2	0
$400,001-$500,000	1	1	0	2
$500,001-$600,000	0	0	2	2
$600,001-$700,000	0	0	0	0
$700,001-$800,000	1	1	1	1
$800,000-$900,000	0	0	0	0

1989-1990, in nine libraries in fiscal year 1988-1989, and in eight libraries in fiscal year 1987-1988. These figures show a general trend toward higher approval plan spending each year, as should be expected. The mean dollar amount spent on approval plans for each fiscal year is summarized in Table 8. Only those libraries using approval plans for each year are included.

Questions on the amount of money spent on monographic firm orders for each of the last four fiscal years were also included on the survey. The information collected is summarized in Table 9. Figures for fiscal years 1988-1989 through 1990-1991 were not available for the one respondent who suggested using the Annual Statistics of Medical School Libraries in the United States and Canada. Therefore, the total number of libraries for each of these fiscal years is twelve. The mean dollar amount spent on monographic firm orders for each fiscal year is summarized in Table 10. As previously noted, one library reported that a special appropriation of over $800,000 was received in fiscal year 1989-90, which accounts for some of the difference between this fiscal year and the other fiscal years.

A comparison of the mean dollar amounts spent for approval plans and for monographic firm orders for each of the four fiscal years covered in this study shows a trend toward higher approval plan spending and lower monographic

Table 8.

Mean Amount Spent on Approval Plans
by Fiscal Year

Fiscal Year	Mean Amount
1990-1991	$323,115.90
1989-1990	$311,670.63
1988-1989	$285,729.00
1987-1988	$262,175.62

Table 9.

Amount Spent on Monographic Firm Orders
by Fiscal Year

Amount	1987-88	1988-89	1989-90	1990-91
$0-100,000	3	2	1	1
$100,001-$200,000	3	2	2	4
$200,001-$300,000	4	5	2	2
$300,001-$400,000	0	0	3	2
$400,001-$500,000	2	1	2	2
$500,001-$600,000	0	0	1	1
$600,001-$700,000	0	1	0	0
$700,001-$800,000	0	0	0	0
$800,001-$900,000	0	0	0	0
$900,001-$1,000,000	0	1	0	0
Over $1,000,000	1	0	1	0

Table 10.

Mean Amount Spent on Monographic Firm Orders by Fiscal Year

Fiscal Year	Mean Amount
1990-1991	$285,237.00
1989-1990	$356,465.41
1988-1989	$308,304.25
1987-1988	$280.920.08

firm order spending. The mean dollar amount spent on monographic firm orders is higher than the mean dollar amount spent on approval plans for fiscal year 1987-1988 through fiscal year 1989-1990. The 1990-1991 fiscal year is the first year in which approval plan spending is reported as being higher than monographic firm order spending.

Libraries with approval plans reported using a variety of vendors for both domestic and foreign plans. A breakdown of the approval plan vendors currently being used by those libraries having approval plans is provided in Tables 11 and 12. A large percentage of libraries with approval plans have chosen Baker & Taylor as their domestic approval plan vendor and B.H. Blackwell as their foreign approval plan vendor. One library reported that it used seven foreign approval plans, but only listed three on the questionnaire. This discrepancy should be noted when analyzing these figures.

Table 11.

Domestic Approval Plans Used
by Number of Libraries

Vendor	Number of Libraries
Abrams	1
Baker & Taylor	6
Blackwell North America	3
Coutts Library Services	1
Gale Research	1
Gale Research(AMACOM)	1
Matthew Bender	1
Matthews	1
Small Press Dist.	1
Yankee Book Peddler	2

Table 12.

Foreign Approval Plans Used
by Number of Libraries

Vendor	Number of Libraries
Aux Amateur de Livres	1
B.H. Blackwell	6
Otto Harrasowitz	3
Puvill	1
Touzot	1

V. CONCLUSIONS

Approval plans have long been a method used by libraries for acquiring library materials in a timely fashion. The literature in the area of approval plans has primarily focused on establishing an approval plan, choosing or evaluating an approval plan, or measuring satisfaction levels. The purpose of the present study was to analyze approval plan use from a budgetary perspective, focusing on approval plan use in those academic and research libraries currently involved in the OhioLINK project.

The data gathered from this survey yielded useful information concerning approval plan use in the libraries involved in the OhioLINK project. Eleven of the thirteen respondents reported that their libraries currently use approval plans. The number of libraries using approval plans has grown from eight in fiscal year 1987-1988 to eleven in fiscal year 1990-1991. This trend indicates that a larger proportion of libraries are relying on the approval plan as a method of acquiring library materials.

A comparison of the amounts spent during each fiscal year for approval plans and for monographic firm orders shows that the 1990-1991 fiscal year is the first year in which approval plan spending is higher than spending for monographic firm orders. Since this figure is estimated, a follow-up study would be necessary to determine whether this situation actually occurs. This trend toward higher

spending on approval plans is also indicative of the increased reliance on approval plans for the acquisition of library materials.

A higher percentage of libraries in this study currently use approval plans than was reported in previous studies. However, the small sample size of this study must be taken into consideration when making comparisons of this type. The correlation coefficients that were determined between library size and approval plan use in the OhioLINK libraries show that larger libraries tend to spend a larger percentage of their budgets on approval plans and that they tend to use a larger number of approval plans. Both of these results support the hypotheses formulated for this study. While a larger number of approval plans in larger libraries is to be expected, the higher percentage spent on approval plans in larger libraries indicates that these libraries rely on this method of acquiring materials more than smaller libraries. Reasons for this were not explored in this study.

Budgetary analyses shows that monographic firm order spending was higher for fiscal years 1987-1988 through 1989-1990, but that the OhioLINK libraries are projecting that approval plan spending will be higher in fiscal year 1990-1991. This supports the hypothesis that approval plan spending is, or will be, higher than monographic firm order spending among the OhioLINK libraries. Reasons for this

shift toward higher approval plan spending could be the focus of future studies.

The vendor information collected from this survey shows that the OhioLINK libraries with approval plans favor a select few approval plan vendors. This information will be useful to these libraries because of future library materials and resource sharing that is to be accomplished through the OhioLINK project. Libraries may want to consider a planned effort to incorporate a wider range of approval plan vendors in order to obtain a broader range of materials than would be possible by using the same few vendors.

The purpose of the present study was to gather information on approval plan use in the OhioLink libraries. The study was not intended to analyze the reasons for using approval plans, satisfaction levels with approval plans, or reasons for selecting an approval plan. Future studies may explore trends in approval plan use as compared to monographic firm orders as a method of acquiring library materials. Satisfaction levels or reasons for selecting and using approval plans in these libraries could also be explored.

APPENDIX A:

COVER LETTER

December 4, 1990

Dear Acquisitions Librarian:

As a student at the Kent State University School of Library Science, I am conducting a survey on approval plan use among those libraries involved in the OhioLINK project. This survey will examine which vendors are used and how much is being spent on approval plans in these libraries.

Enclosed please find a short survey on approval plan usage in your library. Your responses to these questions will remain confidential and any additional comments are welcome.

The results of this survey will provide information of interest to those libraries involved in the OhioLINK project. I will be happy to furnish a copy of the results upon request.

Please take a few minutes to complete the survey and return it in the attached envelope by January 1, 1991. Thank you for your time and assistance.

Sincerely,

Gary White
School of Library Science
Kent State University

APPENDIX B:

SURVEY QUESTIONNAIRE

Title of person completing this questionnaire:

_____

Directions: Please answer the following questions as accurately as possible. If exact figures are unknown/unavailable, please estimate or fill in the letter which most closely corresponds to the approximate figure (see last page for listing).

1. What is the approximate number of items currently in your library's collection?

   _____

2. What was your library's total acquisitions budget for each of the last four fiscal years?

   $_____ 1990-91 Fiscal Year

   $_____ 1989-90 Fiscal Year

   $_____ 1988-89 Fiscal Year

   $_____ 1987-88 Fiscal Year

3. What was your library's total monographic budget (including approval plans) for each of the last four fiscal years?

   $_____ 1990-91 Fiscal Year

   $_____ 1989-90 Fiscal Year

   $_____ 1988-89 Fiscal Year

   $_____ 1987-88 Fiscal Year

4. Does your library currently use approval plans? _____Yes _____No
   (If you responded No, go to question 9)

5. How many approval plans does your library have in each of the following categories?

   Domestic_____

   Foreign_____

6. Who are your primary approval plan vendors?

Domestic	Foreign
_____	_____
_____	_____
_____	_____
_____	_____

7. Approximately how much has your library spent on approval plans in:

   Fiscal year 1989-90 $_____

   Fiscal year 1988-89 $_____

   Fiscal year 1987-88 $_____

8. Approximately how much will your library spend on approval plans in fiscal year 1990-91?

   $_____

9. Approximately how much has your library spent of monographic firm orders in:

   Fiscal year 1989-90 $_____

   Fiscal year 1988-89 $_____

   Fiscal year 1987-88 $_____

10. Approximately how much will your library spend on monographic firm orders in fiscal year 1990-91?

    $_____

Please include any written statements you feel may be useful in providing further information or to clarify the information given above.

Thank you for your time and assistance.

A. $0 - $50,000
B. $50,000 - $100,000
C. $100,000 - $200,000
D. $200,000 - $300,000
E. $300,000 - $400,000
F. $400,000 - $500,000
G. $500,000 - $600,000
H. $600,000 - $700,000
I. $700,000 - $800,000
J $800,000 - $900,000
K. $900,000 - $1,000,000
L. $1,000,000 - $1,250,000
M. $1,250,000 - $1,500,000
N. $1,500,000 - $1,750,000
O. $1,750,000 - $2,000,000
P. $2,000,000 - $2,500,000
Q. $2,500,000 - $3,000,000
R. $3,000,000 - $3,500,000
S. $3,500,000 - $4,000,000
T. $4,000,000 - $4,500,000
U. $4,500,000 - $5,000,000
T. $5,000,000 - $5,500,000
U. $5,500,000 - $6,000,000
V. OVER $6,000,000

APPENDIX C:

Follow-up Letter

January 15, 1991

Dear Acquisitions Librarian:

One month ago I sent you a short questionnaire concerning approval plan use in your library. As a graduate student at the Kent State University School of Library Science, I am requesting this information as part of a research project on libraries involved in the OhioLINK project. If you have not already done so, please take a few minutes to complete the enclosed questionnaire and return it to me in the envelope provided. Your reponses to these questions will remain confidential and any additional comments are welcome.

Thank you for your time and assistance.

Sincerely,

Gary White
School of Library Science
Kent State University

APPENDIX D:

OhioLINK LIBRARIES

1. Bowling Green State University
2. Case Western Reserve University
3. Central State University
4. Cleveland State University
5. Kent State University
6. Medical College of Ohio
7. Miami University
8. Northeastern Ohio Universities College of Medicine (NEOUCOM)
9. Ohio State University
10. Ohio University
11. Shawnee State University
12. University of Akron
13. University of Cincinnati
14. University of Dayton
15. University of Toledo
16. Wright State University
17. Youngstown State University

APPENDIX E: SURVEY RESPONSES

Library	1	2
Number of Items	2,042,000	1,800,000
Acq. Budget '90-91	2,361,580	2,382,902
Acq. Budget '89-90	2,256,304	2,277,780
Acq. Budget '88-89	1,995,219	2,357,266
Acq. Budget '87-88	1,753,464	1,500,000
Mono. Budget '90-91	928,900	613,510
Mono. Budget '89-90	940,234	693,405
Mono. Budget '88-89	849,135	771,441
Mono. Budget' 87-88	691,399	335,000
Use AP? (Y/N)	Yes	Yes
No. of Domestic	3	1
No. of Foreign	4	1
AP Amt. '90-91	225,000	125,000
AP Amt. '89-90	250,000	155,000
AP Amt. '88-89	250,000	159,204
AP Amt. '87-88	250,000	125,000
Mono. Amt. '90-91	450,000	488,510
Mono. Amt. '89-90	450,000	538,405
Mono. Amt. '88-89	450,000	612,237
Mono. Amt. '87-88	450,000	200,000
Domestic Vendors	Blackwell North America Small Book Dist. Yankee Book Peddler	Baker & Taylor
Foreign Vendors	B.H. Blackwell Otto Harrasowitz Puvill Touzot	B.H. Blackwell

Library	3	4
Number of Items	2,930.078	100,000
Acq. Budget '90-91	2,130,078	226,200
Acq. Budget '89-90	2,039,814	1,050,000
Acq. Budget '88-89	1,854,076	75,000
Acq. Budget '87-88	1,679,540	69,000
Mono. Budget '90-91	650,078	160,000
Mono. Budget '89-90	632,959	900,000
Mono. Budget '88-89	595,036	50,000
Mono. Budget' 87-88	553,900	47,000
Use AP? (Y/N)	Yes	Yes
No. of Domestic	1	1
No. of Foreign	0	0
AP Amt. '90-91	528,000	250,000
AP Amt. '89-90	510,645	150,000
AP Amt. '88-89	483,120	0
AP Amt. '87-88	439,900	0
Mono. Amt. '90-91	122,078	160,000
Mono. Amt. '89-90	122,314	500,000
Mono. Amt. '88-89	111,916	50,000
Mono. Amt. '87-88	114,000	47,000
Domestic Vendors	Baker & Taylor	Coutts
Foreign Vendors		

Library	5	6
Number of Items	1,602,300	75,022
Acq. Budget '90-91	1,371,750	303,000
Acq. Budget '89-90	1,255,335	345,902
Acq. Budget '88-89	1,095,876	352,984
Acq. Budget '87-88	1,034,410	274,380
Mono. Budget '90-91	333,750	20,000
Mono. Budget '89-90	309,586	95,401
Mono. Budget '88-89	195,258	74,381
Mono. Budget' 87-88	222,022	61,680
Use AP? (Y/N)	Yes	Yes
No. of Domestic	4	1
No. of Foreign	0	0
AP Amt. '90-91	25,000	1,275
AP Amt. '89-90	25,000	14,346
AP Amt. '88-89	25,000	11,600
AP Amt. '87-88	25,000	9,816
Mono. Amt. '90-91	333,750	15,000
Mono. Amt. '89-90	309,302	48,727
Mono. Amt. '88-89	221,829	30,318
Mono. Amt. '87-88	232,794	15,062
Domestic Vendors	Baker & Taylor Gale Research Gale Research (AMACOM) Abrams	Matthews
Foreign Vendors		

Library	7	8
Number of Items	870,000	480,937
Acq. Budget '90-91	682,189	1,410,000
Acq. Budget '89-90	619,411	1,225,000
Acq. Budget '88-89	569,445	1,020,000
Acq. Budget '87-88	511,847	900,000
Mono. Budget '90-91	122,400	380,000
Mono. Budget '89-90	120,185	340,000
Mono. Budget '88-89	112,044	239,000
Mono. Budget' 87-88	134,951	216,000
Use AP? (Y/N)	No	Yes
No. of Domestic	0	1
No. of Foreign	0	1
AP Amt. '90-91	0	180,000
AP Amt. '89-90	0	170,000
AP Amt. '88-89	0	0
AP Amt. '87-88	0	0
Mono. Amt. '90-91	122,400	200,000
Mono. Amt. '89-90	120,185	240,000
Mono. Amt. '88-89	112,044	239,000
Mono. Amt. '87-88	134,951	216,000
Domestic Vendors		Blackwell North America
Foreign Vendors		Otto Harrasowitz

Library	9	10
Number of Items	4,000,000	106,677
Acq. Budget '90-91	4,700,000	N/A
Acq. Budget '89-90	4,600,000	N/A
Acq. Budget '88-89	4,000,000	N/A
Acq. Budget '87-88	4,100,000	54,817
Mono. Budget '90-91	1,351,109	N/A
Mono. Budget '89-90	1,854,485	N/A
Mono. Budget '88-89	1,707,683	N/A
Mono. Budget' 87-88	1,806,501	54,817
Use AP? (Y/N)	Yes	No
No. of Domestic	1	0
No. of Foreign	7	0
AP Amt. '90-91	750,000	0
AP Amt. '89-90	822,316	0
AP Amt. '88-89	731,264	0
AP Amt. '87-88	754,879	0
Mono. Amt. '90-91	601,109	N/A
Mono. Amt. '89-90	1,032,169	N/A
Mono. Amt. '88-89	976,419	N/A
Mono. Amt. '87-88	1,051,622	54,817
Domestic Vendors	Baker & Taylor	
Foreign Vendors	B.H. Blackwell Otto Harrasowitz Aux Amateur de Livres	

Library	11	12
Number of Items	2,370,893	1,700,000
Acq. Budget '90-91	2,200,000	1,800,000
Acq. Budget '89-90	1,880,000	1,625,000
Acq. Budget '88-89	1,800,000	1,450,000
Acq. Budget '87-88	1,400,000	1,325,000
Mono. Budget '90-91	860,000	700,000
Mono. Budget '89-90	870,000	685,000
Mono. Budget '88-89	630,000	520,000
Mono. Budget' 87-88	418,000	370,000
Use AP? (Y/N)	Yes	Yes
No. of Domestic	2	1
No. of Foreign	1	1
AP Amt. '90-91	600,000	420,000
AP Amt. '89-90	600,000	375,000
AP Amt. '88-89	300,000	220,000
AP Amt. '87-88	0	150,000
Mono. Amt. '90-91	300,000	280,000
Mono. Amt. '89-90	270,000	310,000
Mono. Amt. '88-89	300,000	300,000
Mono. Amt. '87-88	418,000	200,000
Domestic Vendors	Blackwell North America Yankee Book Peddler	Baker & Taylor
Foreign Vendors	B.H. Blackwell	B.H. Blackwell

Library	13
Number of Items	2,000,000
Acq. Budget '90-91	2,698,500
Acq. Budget '89-90	2,380,804
Acq. Budget '88-89	2,193,594
Acq. Budget '87-88	1,820,310
Mono. Budget '90-91	650,000
Mono. Budget '89-90	692,553
Mono. Budget '88-89	687,261
Mono. Budget' 87-88	579,605
Use AP? (Y/N)	Yes
No. of Domestic	2
No. of Foreign	1
AP Amt. '90-91	450,000
AP Amt. '89-90	356,070
AP Amt. '88-89	391,373
AP Amt. '87-88	342,810
Mono. Amt. '90-91	350,000
Mono. Amt. '89-90	336,483
Mono. Amt. '88-89	295,888
Mono. Amt. '87-88	236,795
Domestic Vendors	Baker & Taylor Matthew Bender
Foreign Vendors	B.H. Blackwell

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